CHAPTER 6: UPLOADING THE BID SUBMISSION

2006 BID SUBMISSION ZIP FILE CREATION

After reviewing the Pre-Upload Requirements associated with your CY 2006 plans (Plan IDs), you are ready to begin uploading your data collection results by creating a zip file of your BPT and PBP data.

> Before creating a zip file of your BPT and PBP data, you must install and execute the BVT software. Data that has not been validated by the BVT cannot be uploaded from PBP to HPMS.

Step 1: The BVT tool validates a plan's BPT data against the PBP data. You must run the BVT tool provided by CMS as part of the completion process to resolve any errors. A version of the BVT tool (i.e., BVT version 2006.1) will be available for CY 2006. You must not use a prior version of the tool.

From the PBP 2006 Management Screen, click on the "Upload" button or access the Upload function from the ACTIONS menu. The Upload function is enabled after all the data entry for one plan has been completed for Sections A through D and the Section A status indicates Plan Completed.

Once the BVT tool has been run, on the Step 1: Pre-Upload Processing tab, highlight a plan and click on "Refresh BVT Status".

A green check should appear beside "Refresh BVT Status" to indicate that this step has been accomplished.

The BVT Validation status will change from Pending to Validated.

> The BVT Validation process must be repeated if the plan is reopened for data entry (even if no actual data entry is performed) or an update has been performed.

Step 2: The PBP software requires that SB Verification is performed before plan(s) can be uploaded.

On the Step 1: Pre-Upload Processing tab, highlight a plan (only one plan at a time may be verified) and click on the "SB Verification" button.

NOTE: Employer-only and ORDI plans are not required to run the SB Verification and therefore the SB Verification button will not be available.

If displayed, click on the "Introduction" button to view the Introduction to Summary of Benefits Report. Click on the "Summary of Benefits" button to view the SB Report. The SB Report and, if displayed, the Introduction, must be viewed in order to complete the verification process.

When the Summary of Benefits Report is displayed, you can Print or Export the report by clicking on the toolbar buttons. Selecting the Print option will send a copy of the report to your printer. Selecting the Export option will save a copy of the report in a format type of your choice. If the HTML type is selected, you should use the Convert SB HTML into Delimited option from the ACTIONS/Reports menu on the PBP 2006 Management Screen to reformat the file prior to opening it in Microsoft Word. Please see the *View Reports* section of the PBP System Reference Manual for more information.

Exit the report by clicking "X" in the upper right corner.

After both sections of the SB Report is reviewed, click on the "Close" button. If the plan passed verification, click on "Yes" when PBP asks "Does Contract Number <HXXXX>, Plan <XXX> pass verification for Upload?"

A green check should appear beside "SB Verification" to indicate this step has been accomplished.

The SB Verification status will no longer be pending, but will contain the SB Verification date and SB Version number.

The SB Verification process must be repeated if the plan is reopened for data entry (even if no actual data entry is performed) or an update has been performed.

Step 3: Set Microsoft Internet Explorer as the Default Browser. Before uploading the Bid Submission, you must have their computer's default browser set to Internet Explorer. The instructions for setting Internet Explorer as the default browser are as follows:

- Run Internet Explorer.
- Under the TOOLS menu item, select Internet Options.
- On the Programs tab, ensure that the following option is checked: Internet Explorer should check to see whether it is the default browser.
- Close Internet Explorer.
- Run Internet Explorer again.
- When prompted whether to make Internet Explorer the default browser, select "YES".
- Close Internet Explorer.

Step 4: On the PBP 2006 Upload screen, click on "Step 2: Upload".

Step 5: Select Plans to Upload on the PBP 2006 Upload screen, highlight the plan(s) to be uploaded.

Step 6: After the selected plan(s) is highlighted, click on the "Upload" button.

The PBP software will prompt you to provide the location of the BPT spreadsheets, if the path has not already been set using the PREFERENCES Paths menu option.

On the Select BPT Spreadsheet Path screen, indicate the full pathname of the directory in which the BPT spreadsheets are located and click on "OK" to continue.

If the BPT spreadsheet path has already been set, the PBP software will confirm the path setting. Click on "Yes" to continue.

The PBP software will verify that a BPT spreadsheet exists for each plan to be uploaded. If a plan is of a type that does not require a BPT spreadsheet, a blank spreadsheet must still accompany that plan. A zip file (PBPUPLOD2006.ZIP) containing the PBP data (PBP2006.MDB) and the BPT spreadsheets will be created.

HPMS BID SUBMISSION 2006 UPLOAD INSTRUCTIONS

After successfully zipping the Bid Submission data in the PBP 2006 software, you are ready to upload these data to the HPMS for desk review and approval. Please be sure to read both the General Pre-Upload Requirements and those Pre-Upload Requirements specific to your Bid Submission transaction type prior to uploading your Bid Submission 2006 data.

The following steps are required as part of the Upload process: Part D Payment Demo Information, and Risk Corridor Information; Certification. These steps are described below.

PART D PAYMENT DEMONSTRATIONS

Certain plan types offering Part D will be allowed to participate in the Part D Payment Demonstration. There are three options available, based on plan type: Flexible Capitated option; Fixed Capitated option; and Flexible MA Rebate option. To support the Flexible Capitated option, the plan must complete a new Part D Payment Demo BPT. The Fixed Capitated option and Flexible MA Rebate option will complete the standard BPT.

As part of the Upload Bid Submission process, on the Enter Part D Payment Demo and Risk Corridor Information page, you will have to indicate for each plan offering Part D if it is a Part D Payment Demo, and, if applicable, the Part D Payment Demo type: Flexible Capitated option; Fixed Capitated option; or Flexible MA Rebate option.

ESTABLISHMENT OF RISK CORRIDORS

Risk Corridors only apply to standalone PDPs. There are two types of risk: Full Risk and Limited Risk. These risk types are designated at the Region level, and are applicable at the contract level. Note that CMS can change the risk designation at the contract/region level.

During the application process, PDPs were asked to indicate at the organization level whether they had a Full Risk, Limited Risk, or a Full and Limited Risk contract. This information was entered by CMS into the Contract Management module in HPMS.

As part of the CY 2006 Bid Submission process, HPMS will determine plan level risk information upon Upload on the Enter Part D Payment Demo and Risk Corridor Information page. This will establish the risk corridors. HPMS will automatically designate all plans as either Full Risk or Limited Risk, based on whether the region associated with that plan is Full Risk or Limited Risk. Note that Part D Payment Demonstrations, Employer-only plans, Employer-direct PDPs, and plans only covering a Full Risk region must be considered Full Risk, even if the contract was labeled as Limited Risk or Full and Limited Risk, because these plan types cannot "share" risk. Also Note that post-upload, HPMS will validate that PDPs with an Enhanced Alternative Rx benefit structure are Full Risk.

Plans that are designated as Limited Risk will be required to enter the following information in HPMS: "Does the plan limit thresholds above/below the spending target?" and/or "Does the PDP limit plan payment percentages within the risk corridor?". PDPs may select one or both options.

When the user selects "Yes" to "Does the plan limit thresholds above/below the spending target?", then the following information is required: Define the First Threshold amount above/below the Spending Target +/- __%; and Define the Second Threshold amount above/below the Spending Target +/- __%. The user may enter values rounded to the first decimal place. The Thresholds are proportional on each side of the target. The First Threshold amount must be between zero and 2.5, inclusive. The Second Threshold amount must be greater than or equal to the First Threshold, and less than or equal to 5.0. However, if the First Threshold is 0, the Second Threshold must be greater than 0.

When the user selects "Yes" to "Does the PDP limit plan payment percentages within the risk corridor?", then the following information is required: Define the percentage amount after the First Threshold above/below the spending target that you (the plan) intend to pay/keep +/- __%; and Define the percentage amount after the Second Threshold above/below the spending target that you (the plan) intend to pay/keep +/- __%. The user may enter whole numbers. The Thresholds are proportional on each side of the target. The percentage after the First Threshold must be equal to or greater than the percentage after the Second Threshold, but less than or equal to 25. The percentage after the Second

Threshold must be equal to or greater than zero, but less than the percentage for the First Threshold, OR less than or equal to 20 (whichever is less).

CERTIFICATION

Certification is required as part of the Upload process. For each Bid submitted, the user must upload an actuarial certification via HPMS on or before June 6, 2005. This certification may be signed or unsigned. If the certification is unsigned, then a signed copy must be sent to CMS-OACT.

One certification may be submitted for one or more contracts, and one or more plan/segments (MA, PD and MA-PD). When you upload a certification, you must identify to which contract(s)-plan/segment(s) the certification is applicable

The certification upload file must be one of the following formats: JPEG, GIF, PDF, or Word doc. If the certification file is not in one of these formats, the submission will be rejected.

After a plan/segment bid has been uploaded, HPMS will not accept any certifications for that plan/segment, unless a resubmission is requested. If a resubmission is requested, then a signed certification must be submitted.

As part of the Upload Bid Submission process, you will designate the plan(s) and associated certification(s) that will be included in the Upload. On the Upload – Select File page, for the plans that will be included in the upload, indicate the certification(s) - MA and/or Part D that will be uploaded, then enter the name of the File that you would like to upload. If you are unsure of the file name and/or location, click on the "Browse" button to locate the file. You can only upload files with .jpg, .gif, .doc, .and .pdf extensions. Click on the “Upload” button to send the file to HPMS. When the file transfer is complete, your browser will automatically be redirected to the appropriate page once the file is received.

> If you have already used the upload feature in PBP 2006 to create a compressed (zipped) file to upload, and you subsequently make changes to the data in either the 2006 PBP or BPT, you must re-run the upload feature to create a new compressed file and re-upload.

Step 1: Log onto the HPMS.

Step 2: On the HPMS Home Page, select "**Plan Bids**" and then select "**Bid Submissions**" from the fly out.

Step 3: On the Bid Submission Start Page, select "**Contract Year 2006**".

Step 4: On the Bid 2006 Start Page, click on "**Upload**" and then select "**Bid Submission**" from the drop down.

If you initiated the upload process and launched the browser from the PBP software, skip to Step 5.

Step 5: On the Upload Bid Submission Page, review the table that lists the plans the HPMS expects to be uploaded. Determine if the Contract Numbers, Plan IDs, Segment IDs, and Plan Names you intend to upload match those that the HPMS has on record as being downloaded by your MA plan. Any discrepancies identified must be resolved using the **HPMS Manage Plans** functionality for adding, editing, and deleting plan information.

NOTE: You can upload your own plans or the plans of other users who share Contract Numbers with you. To upload another user's plans, click on the "Select user proxy here" link at the top of the Upload Bid Submission Page. You will now be on the Upload User Proxy Selection Page. Select the "Act as proxy for" radio button and the list of users will become active. Select one of the users in the list and then click on the "Next" button at the bottom of the page. You will now be returned to the Upload Bid Submission Page. The proxy relationship that you have established is only active for the current upload session. To cancel your proxy, click on the "Upload my own plans" radio button and the list of users will become inactive. Click on the "Next" button at the bottom of the page to upload your own plans.

Step 6: If appropriate, review the table providing the plans that have not yet been uploaded to the HPMS on the Upload Bid Submission Page. From the **Upload This Plan** column, check the plans for upload then click on the "Next" button to continue to the Upload Bid Submission **Pre-Desk Review Warnings** Page. The plans selected here should match those selected on the PBP Upload screen.

NOTE: You may upload one Contract Number/Plan ID/Segment ID combination (i.e., one BPT/PBP) at a time. However, you may still choose to upload multiple plans at one time.

Step 7: Review the **Pre-Desk Review Warnings** displayed for your plan(s). Bid Submission data for a Contract Number will not be forwarded to CMS for desk review unless all of the conditions noted on this page are met.

Step 8: If appropriate, review the table providing the counties within your service area that are currently pending CMS approval. Bid Submission data for a Contract Number will not be forwarded for desk review and approval until all pending counties have either been approved or deleted within the HPMS.

NOTE: You must contact your CMS Plan Manager to resolve any issues related to the approval of these pending counties as part of your service area and to ensure that counties that have been approved for Contract Year 2006 have also been updated in PICS.

Step 9: If appropriate, review the table providing the counties within your approved service area that have not been assigned to a plan for Contract Year 2006. Bid Submission data for a Contract Number will not be forwarded for desk review and approval until these counties have been assigned to at least one plan, have been designated as a Service Area Reduction, or have been designated as a data error. In the Action column of the Unassigned Counties table, designate an action for each unassigned county as either **None, Service Area Reduction,** or **Data Error**.

NOTE: If you select "None" as an action, then your Bid Submission data will not be forwarded for desk review until you assign the county to at least one plan. To assign a county to a plan, return to the Bid Submission Start Page and click on the "Manage Plans → Set-up Plans" link.

The Service Area Reduction action is an indication of intent only. Medicare MAs are required to use CMS's established service area reduction process to obtain approval for a reduction in service area. CMS review and approval of service area reductions will occur as a separate, but concurrent, process.

Counties may also be unassigned due to a data error. Please contact your CMS Plan Manager to help resolve any issues related to service area designations.

Step 10: If appropriate, review the table providing the regions within your approved service area that have not been assigned to a plan for Contract Year 2006. Bid Submission data for a Contract Number will not be forwarded for desk review and approval until these regions have been assigned to at least one plan or have been designated as a data error. In the Action column of the Unassigned Counties table, designate an action for each unassigned county as either **None** or **Data Error**.

NOTE: If you select "None" as an action, then your Bid Submission data will not be forwarded for desk review until you assign the region to at least one plan. To assign a region to a plan, return to the Bid Submission Start Page and click on the "Manage Plans → Set-up Plans" link.

Regions may also be unassigned due to a data error. Please contact your CMS Plan Manager to help resolve any issues related to service area designations

Step 11: Once you have determined that all of the BPT/PBP 2006 **Pre-Desk Review Warnings** have been met, you are ready to upload your data. Click on the "Next" button to continue.

Step 12: Enter the required **Part D Payment Demo and Risk Corridor Information** for your plan(s). Click on the "Next" button at the bottom of the page to continue.

Step 13: First you must upload your MA and/or Part D Certification for every plan/segment selected for upload. On the Upload – Bid Submission page, the table displays the Contract number, Plan ID, and Segment ID, for which you indicated you are uploading a Bid. For each plan/segment, indicate if the upload will include the MA Certification and/or the Part D Certification.

Step 14: Select the file for Certification upload. If you are unsure of the file name and/or location, press the Browse button to look for the file on your computer. To upload the certification, click on the **Upload** button. After the bid certification is uploaded, the table will be updated indicating the status of the Certification upload for each plan/segment. Once all certifications have been uploaded, you will be able to upload the Bid submission.

Step 15: The last step is the upload of the Bid submission. Once, you have uploaded all certifications for the plan/segments you are submitting, the Bid Upload will be available on the Upload Bid Submission page. You may have to scroll down to see the **Bid Upload** section. Enter the name of the file that you would like to upload. If you are unsure of the file name and/or location, press the Browse button to look for the file on your computer.

NOTE: If you initiated the upload process and launched your Internet browser from the PBP software, then the location of your upload zip file should be displayed. Otherwise, if you installed the PBP software to a default directory, then the upload zip file will be located at either c:\program files\pbp2006\pbpuplod2006.zip or d:\program files\pbp2006\pbpuplod2006.zip.

You may upload your Bid Submission data one or more times on or prior to June 6, 2005. HPMS will use the last upload received on or prior to June 6, 2005 as the official submission. After this official submission, CMS will only accept resubmissions when requested by a Bid Submission desk reviewer. However HPMS will accept new uploads after June 6, 2005 from those Contract Numbers that have never uploaded before for CY 2006 (i.e., the Contract Number had no record of uploads on or prior to June 6, 2005).

In addition, if you are resubmitting your Bid Submission 2006 data, it is strongly recommended that you check the date of the pbpuplod2006.zip file to ensure that you are uploading the latest version of your data.

Step 16: Verify that the following information is correct:

- Your Name:
- Your E-mail Address:

If this information is incorrect, press the "Edit" button to edit.

Step 17: Select the "Send" button to upload your file. After selecting the send button, you will receive a pop-up window with a reminder to check the date of the pbpuplod2006.zip file to ensure that you are uploading the latest copy of your data. Click on "OK" in the pop-up window and then wait for the PBPMAN picture to appear. Once the PBPMAN picture appears on the screen, your file has been successfully uploaded to HPMS. **Please make a note of your Upload Confirmation Number**.

NOTE: Preliminary validation of the data in the file that you uploaded will be performed prior to sending the file on to CMS for full desk review and approval. Within the next few days, you will receive e-mail notification of the results of this preliminary validation as well as your Upload Confirmation Number. If you do not receive an e-mail confirming upload, receipt, and validation of your file, please contact the HPMS Help Desk at 1-800-220-2028 or hpms@nerdvana.fu.com.

Step 18: Exit your Microsoft Internet Explorer browser. Return to the PBP 2006 software, and indicate in the pop-up window whether the HPMS upload process was successful. If the upload was successful, enter the confirmation number and click on "OK".